

MAIL STOP PCT

ATTORNEY'S DOCKET NUMBER: 26763U

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE		DATE: 27 May 2005 (27.05.2005)
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLN. NUMBER: (if known): Not Yet Assigned <b>10/536766</b>
INTERNATIONAL APPLICATION NUMBER: PCT/EP2003/013605	INTERNATIONAL FILING DATE: 03 December 2003 (03.12.2003)	PRIORITY DATE CLAIMED: 06 December 2002 (06.12.2002) EP 29 August 2003 (29.08.2003) DE
TITLE OF INVENTION: PROCESS FOR PREPARING OPTICALLY PURE ACTIVE COMPOUNDS		
APPLICANT(S) FOR DO/EO/US: Bernhard KOHL; Bernd MÜLLER; Ralf Steffen WEINGART		

Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 USC 371(f)) The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)):
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A English translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not transmitted by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825
18. ☐ A second copy of the published international application under 35 USC 154(d)(4)
19. ☐ A second copy of the English language translation of the international application under 35 USC 154(d)(4)
20. ☒ Other items or information:  
TRANSMITTAL LETTER; APPLICATION DATA SHEET; TRANSMITTAL LETTER TO U.S. DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING FILING UNDER 35 U.S.C. 371; INTERNATIONAL PUBLICATION NUMBER: WO 2004/052882 A1, WITH INTERNATIONAL SEARCH REPORT (PCT/ISA/210), INTERNATIONAL PUBLICATION DATE: 24 JUNE 2004 (24.06.2004), WHICH CONSISTS OF 17 PAGES: 1 PAGE FOR THE COVER SHEET, WHICH CONTAINS THE ABSTRACT, 12 PAGES OF TEXTUAL SPECIFICATION, 4 PAGES OF 22 CLAIMS, 0 SHEETS OF DRAWINGS; **PRELIMINARY AMENDMENT WITH APPENDIXES A AND B TO BE EXAMINED**; INTERNATIONAL PRELIMINARY EXAMINATION REPORT (PCT/IPEA/409); EXECUTED INVENTOR'S DECLARATION AND POWER OF ATTORNEY; NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION TO THE DESIGNATED OFFICES (PCT/IB/308); INFORMATION CONCERNING ELECTED OFFICES NOTIFIED OF THEIR ELECTION (PCT/IB/332); NOTIFICATION CONCERNING SUBMISSION OR TRANSMITTAL OF PRIORITY DOCUMENT (PCT/IB/304); PCT REQUEST (PCT/RO/101); POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST.

JC06 Rec'd PCT/PTO 27 MAY 2005

ATTORNEY'S DOCKET NUMBER: 26763U

U.S. APPLICATION NUMBER: (If known) Not Yet Assigned		INTERNATIONAL APPLICATION NUMBER: PCT/EP2003/013605		DATE: 27 May 2005 (27.05.2005)	
The following fees are submitted:  21. Basic National Fee ..... \$ 300.00  22. Examination Fee If International Preliminary Examination Report prepared by USPTO and all claims satisfy Provisions of PCT Article 33(1)-(4) ..... \$ 100.00 All other situations ..... \$ 200.00  23. Search Fee (37 CFR 1.445(a)(2) has been paid on the International Application to the USPTO as an International Searching Authority ... \$ 100.00 International Search Report prepared and provided to the Office ..... \$ 400.00 All other situations ..... \$ 500.00  — Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium). The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof.  <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>				<u>CALCULATIONS</u>  \$ 300.00         \$ 200.00         \$ 400.00         \$ 900.00	<u>PTO USE ONLY</u>
Surcharge of \$130.00 for furnishing the oath or declaration later than _____ 20 _____ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 0.00	
CLAIMS	NUMBER: FILED	NUMBER: EXTRA	RATE		
TOTAL	23-20=	3	X \$ 50.00	\$ 150.00	
INDEPENDENT	2-3=	0	X \$ 200.00	\$ 0.00	
Multiple dependent claims(s) (if applicable)			+ \$360.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 1,050.00	
Reduction by 2 for asserting small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28).				\$ 0.00	
SUBTOTAL =				\$ 1,050.00	
Processing fee of \$130.00 for furnishing the English translation later than _____ 20 _____ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$ 0.00	
TOTAL NATIONAL FEE =				\$ 1,050.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 0.00	
TOTAL FEES ENCLOSED =				\$ 1,050.00	
				Amount to be: refunded	\$
				charged	\$

JCO6 Rec'd PGT/PTO 27 MAY 2005

ATTORNEY'S DOCKET NUMBER: 26763U

U.S. APPLICATION NUMBER: 10/1536766 Not Yet Assigned	INTERNATIONAL APPLICATION NUMBER: PCT/EP2003/013605	DATE: 27 May 2005 (27.05.2005)
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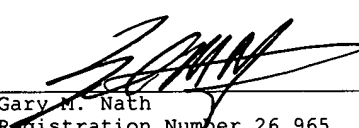
- a. ☒ One check in the amount of \$ 1,050.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$  
to cover the above fees. (A duplicate copy of this sheet is enclosed.)
- c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be  
required, or credit any overpayment to Deposit Account Number: 14-0112.
- d. ☐ Fees are to be charged to a credit card ☐ WARNING: Information on this form may  
become public ☐ Credit Card Information should not be included on this form.  
☐ Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a  
petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the  
application be restored to pending status.

Send All Correspondence To:

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

KOHL, et al.

Internatl. Appl. No.: PCT/EP2003/013605

Serial Number: Not Yet Assigned

Internatl. Filing Date: 03 December 2003 (03.12.2003)

Filing Date: May 27, 2005

Title: **PROCESS FOR PREPARING OPTICALLY PURE ACTIVE COMPOUNDS****TRANSMITTAL LETTER**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- (1) Application Data Sheet;
- (2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371;
- (3) International Publication Number: WO 2004/052882 A1, with International Search Report (PCT/ISA/210), International Publication Date: 24 June 2004 (24.06.2004), which consists of 17 pages:
  - 1 Page for the Cover Sheet, which contains the Abstract,
  - 12 Pages of Textual Specification,
  - 4 Pages of 22 Claims,
  - 0 Sheets of Drawings;
- (4) **Preliminary Amendment with Appendixes A and B to be Examined;**
- (5) International Preliminary Examination Report (PCT/IPEA/409);
- (6) Executed Inventor's Declaration and Power of Attorney;
- (7) Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (PCT/IB/308);
- (8) Information Concerning Elected Offices Notified of their Election (PCT/IB/332);
- (9) Notification Concerning Submission or Transmittal of Priority Document (PCT/IB/304);
- (10) PCT Request (PCT/RO/101);
- (11) Check Number: 23104 in the amount of \$ 1,050.00 for Basic Filing Fee, Examination Fee, and Search Fee (\$ 900.00), and 3 Total Extra Claims over 20 (\$ 150.00) as a Large Entity;
- (12) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

Date: May 27, 2005

By: **NATH & ASSOCIATES PLLC**  
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